IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION OF

Inventor(s): FRANKEL et al.

Filed: Herewith

Title: COMPUTER-BASED METHOD AND SYSTEM FOR AIDING TRANSACTIONS

January 11, 2002

PRELIMINARY AMENDMENT

Hon. Commissioner of Patents
Washington, D.C. 20231

Sir:

Please amend this application as follows:

IN THE SPECIFICATION:

At the top of the first page, just under the title, insert:

1. ☒--This is a ☐ Continuation-In-Part   ☐ Divisional

    ☒ Continuation   ☐ Substitute Application (MPEP 201.09) of

1(a) ☒ U.S. Application No. 09/026,466 filed February 19, 1998.

1(b) ☐ International Application No. PCT/__/

filed ___ which designated the U.S.—

2. ☐--This application claims the benefit of U.S. Provisional Application No.
60/__, filed ___.—

IN THE ABSTRACT:

Please replace the present Abstract with a new Abstract provided on a separate page attached hereto.

IN THE CLAIMS:

Please insert new claim 3 as follows:

3.   A method for aiding a plurality of different transactions carried out electronically between a plurality of parties, said method comprising the steps of:

(a)   providing an infrastructure which includes a plurality of institutions and communications systems interconnecting the institutions;

(b)   designating a specific transaction and associating with the specific transaction two of the plurality of parties and the role of each of the two parties in the specific transaction, the two parties being party A and party B, respectively;

(c)   determining a means for identification of each of the two parties;

(d)   assigning requirements that must be met by party A to carry out the specific transaction;

(e)   requesting, from party B to the infrastructure, a warranty that the requirements assigned in step (c) are met by party A;

(f)   providing, from the infrastructure to party B, a response regarding the status of the warranty requested in step (d);

(g)   completing the specific transaction according to the status of the warranty, resulting in a transaction complete state;

(h)   having the infrastructure manage information about each of the parties, including information about outstanding warranties for each of the parties and transactional administrative information.

Respectfully submitted,

PILLSBURY WINTHROP LLP
Intellectual Property Group

By:_____

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ABSTRACT OF THE DISCLOSURE

A method for aiding transactions by providing warranties against various aspects of a transaction which may be hard to assure ahead of time or when high risk is involved in relying on them. The method employs an infrastructure of a computer and communication systems communication with various distributed organizations working together and providing warranties. Different parties may trust different organizations and user representatives of the infrastructure. A party in a transaction may ask for a warranty against another party. As a response, the infrastructure, through its organizations, calculates and provides a decision regarding the request. Relying on the warranty, the risk involved in conducting the electronic transaction is reduced. In the case where the transaction does not reach sound completion, the warranty can be claimed. The method also involves managing and administrating the infrastructure, the entities in the transaction system and their outstanding warranties. Cryptographic sub-systems within the infrastructure components and the entities they serve are used to assure party/organization authentication and the validity of electronically signed messages within the transaction system. The warranty granting process, in turn, assures the transaction: its content, context, the parties and the parties' identification mechanisms, such as digital certificates.